

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attorney's Docket No. 5470-255

#4  
By  
8-23-10

Applicant or Patentee: Xiong et al.

Serial No. or Patent No.: To be Assigned

Filed or Issued: Concurrently Herewith

Title: ISOLATED DNA ENCODING CULLIN REGULATORS ROC1 AND ROC2,  
ISOLATED PROTEINS ENCODED BY THE SAME, AND METHODS  
UTILIZING THE SAME

**VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 C.F.R. § 1.9(f) & 1.27(d))--NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION University of North Carolina at Chapel Hill  
ADDRESS OF ORGANIZATION 308 Bynum Hall, Campus Box 4105, Chapel Hill, North Carolina 27599-4105

TYPE OF NONPROFIT ORGANIZATION:

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION  
☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE  
(26 U.S.C. 501(a) and 501(c)(3))  
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF  
STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)  
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE  
SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3)) IF LOCATED IN THE  
UNITED STATES OF AMERICA  
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL  
UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office, under Section 41(a) and (b) of Title 35, United States Code, regarding the invention described in:

- ☒ the specification filed herewith with title as listed above.  
☐ the application identified above.  
☐ the patent identified above.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above-identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must file separate verified statements averring to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 C.F.R. § 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d) or a nonprofit organization under 37 C.F.R. § 1.9(e).

Each person, concern, or organization having any rights to the invention is listed below:

Name: \_\_\_\_\_

Address: \_\_\_\_\_

☐ Individual ☐ Small Business ☐ Nonprofit Organization

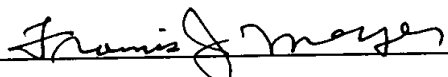
Name: \_\_\_\_\_

Address: \_\_\_\_\_

☐ Individual ☐ Small Business ☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. § 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: Dr. Francis J. Meyer 

TITLE OF PERSON SIGNING: Associate Vice Provost for Technology Development

ADDRESS OF PERSON SIGNING: Office of Technology Development  
University of North Carolina at Chapel Hill  
308 Bynum Hall, Campus Box 4105  
Chapel Hill, NC 27599-4105